



Sheet _ of 2

FORM PTO-1449

U.S. DEPARTMENT OF COMMERCE
PATENT AND TRADEMARK OFFICE

ATTY. DOCKET NO.
36287-04402

SERIAL NO.
10/666,979

INFORMATION DISCLOSURE CITATION

(Use several sheets if necessary)

APPLICANT

Friedman et al.

FILING DATE

September 17, 2003

GROUP ART UNIT
3693

U.S. PATENT DOCUMENTS

EXAMINER INITIAL	DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
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/K.P./		Applications of random walkers to Stock Pricing, www.math.mit.edu/stocker/18354.d/financial.pdf ; Spring 2004
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/K.P./		Transferable Stock Options: Microsoft's Program, Frederic W. Cook & Co., Inc. Oct. 31, 2003
		Transferable Stock Options (TSOs) and the Coming Revolution in Equity-Based Pay, Brian J. Hall, Journal of Applied Corporate Finance, Winter 2004 16(1)

EXAMINER

/Kevin Poe/

DATE CONSIDERED

12/01/2008

EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

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		Statement 133 Implementation Issues, No. A17, FASB, May 1, 2003
		Financial Accounting Series Statement of Financial Accounting Standards No. 123 (revised 2004), Financial Accounting Standards Board of the Financial Accounting Foundation, No. 263-C
		Menachem Brenner, Rangarajan K. Sundaram and David Yermack, Altering the terms of executive stock options, 2000, Journal of Financial and Economics, 57, pages 103-128

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